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U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

**INFORMATION DISCLOSURE  
STATEMENT**

Docket Number:  
**11129/2**

Application Number  
**09/447,319**

Filing Date  
**November 22, 1999**

Examiner  
**To be assigned**

Art Unit  
**2783**

Invention Title  
**SYSTEM AND METHOD FOR TRADING AN  
INSTRUMENT**

Inventor(s)  
**Michael GOOCH**

Address to:  
Assistant Commissioner for Patents  
Washington D.C. 20231

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on

Date: Feb. 6, 2001  
Signature: Thomas J. Meloro  
Thomas J. Meloro (Reg. No. 33,538)

1. In accordance with the duty of disclosure under 37 C.F.R. § 1.56 and in conformance with the procedures of 37 C.F.R. §§ 1.97 and 1.98 and M.P.E.P. § 609, attorneys for Applicants hereby bring the attached references to the attention of the Examiner. These references are listed on the attached modified PTO Form No. 1449. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the references be made of record therein and appear among the "References Cited" on any patent to issue therefrom.
2. A copy of each patent, publication or other information listed on the modified PTO form 1449 is enclosed.
3. It is believed that no fees are due in connection with this Information Disclosure Statement. However, should any fees be due, the Commissioner is authorized to charge Deposit Account No. 11-0600 for such fees. A duplicate copy of this communication is enclosed for charging purposes.

Dated: Feb 6, 2001

By: Thomas J. Meloro  
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